

**FOLLOW-UP SURVEYS TO THE 2020-21 NATIONAL  
TEACHER AND PRINCIPAL SURVEY (NTPS):  
2021-22 Teacher Follow-Up Survey (TFS) and  
2021-22 Principal Follow-Up Survey (PFS)**

Supporting Statement

**PART A**

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National Center for Education Statistics (NCES)

U.S. Department of Education

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## **A.1 CIRCUMSTANCES MAKING COLLECTION OF INFORMATION NECESSARY**

### **A.1.1 Purpose of this Submission**

This request is to conduct data collection for the two follow-up surveys to the 2020-21 National Teacher and Principal Survey (NTPS) – the 2021-22 Teacher Follow-up Survey (TFS) and the 2021-22 Principal Follow-up Survey (PFS). The 2021-22 TFS is a one-year follow up of a subsample of teachers who responded to the 2020-21 NTPS, and the 2021-22 PFS is a one-year follow up of principals who responded to the 2020-21 NTPS. TFS and PFS are conducted by the National Center for Education Statistics (NCES), of the Institute of Education Sciences (IES), within the U.S. Department of Education (ED).

The 2021-22 TFS and 2021-22 PFS, like earlier TFS and PFS collections, will measure the one-year attrition rates of teachers and principals, respectively, who leave the profession and will permit comparisons of stayers, movers, and leavers to fulfill the legislative mandate for NCES to report on the “condition of education in the United States.” “Stayers” are teachers or principals who remain in the same school between the NTPS year of data collection and the follow-up year. “Movers” are teachers or principals who stay in the profession but change schools between the NTPS year and the follow-up year. “Leavers” are NTPS respondents who leave the teaching or principal profession between the NTPS year and the follow-up year.

The 2021-22 TFS analysis file will include TFS data in addition to data collected in the 2020-21 NTPS on teacher characteristics, qualifications, perceptions of the school environment and the teaching profession, and a host of other topics. Prior TFS data have played an important role in improving the understanding of teacher supply and demand and the conditions that affect the balance between the two. NTPS and TFS provide national data on turnover in the teacher workforce, including rates of entry and attrition from teaching, sources and characteristics of newly hired teachers, and characteristics and destinations of Leavers. These data help shift the debate from the issue of teacher quantity to teacher quality; that is, from a focus on teacher shortages measured in terms of the numbers of teaching positions left vacant to the qualifications of teachers who are hired and retained to fill teaching positions. The cross-sectional repeated design of TFS allows the analysis of trends related to these topics.

The 2021-22 PFS analysis file will include PFS data in addition to data on principal characteristics, qualifications, and perceptions of the school environment from data collected in the 2020-21 NTPS. Together, NTPS and PFS will provide national data on turnover in the principal workforce, including rates of entry and attrition from principalship, sources and characteristics of newly hired principals, characteristics and destinations of leavers, and thanks to the cross-sectional repeated design of PFS, analyses of trends related to these topics.

This clearance request is to conduct both 2021-22 NTPS follow-up surveys (TFS and PFS), including all recruitment and data collection activities. This request seeks authorization for 2021-22 TFS and 2021-22 PFS under the TFS single OMB number (OMB# 1850-0617).

This submission includes Supporting Statement Part A (justification), Part B (collection of information employing statistical methods), and Part C (item justification); Appendix A (respondent contact materials), and Appendix B (questionnaires).

### **A.1.2 Legislative Authority**

NCES is authorized to conduct NTPS, TFS, and PFS under the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543).

The General Education Provisions Act, as amended [20 U.S.C. §1211(e)(1)], specified that the National Center for Education Statistics (NCES) design an integrated survey system called the Schools and Staffing Survey (SASS), with each SASS data collection followed one year later by the Teacher Follow-up Survey (TFS) and, beginning in 2008-09, the Principal Follow-up Survey (PFS). The most recent administration of SASS was in 2011-12. At the conclusion of the 2011-12 collection, NCES redesigned SASS and named it NTPS. Legislative authority for NCES to collect data through surveys was reauthorized under the Improving America’s Schools Act of 1994 and has most recently been authorized by the provisions of the Education Sciences Reform Act of 2002 cited above.

### **A.1.3 Prior and Related Studies**

SASS was first fielded in school year 1987-88. It was subsequently collected every 3 years through 1993-94, then underwent a 6-year pause for major survey design revisions, which resulted in the 1999-2000 data collection. Through 2011-12, SASS was on a 4-year data collection cycle, with each SASS data collection followed one year later by the TFS and PFS data collections. At the conclusion of the 2011-12 collection, NCES began to redesign SASS and named it NTPS to reflect the redesigned study's narrowed focus on the teacher and principal labor market and on the state of K-12 school staff.

The TFS and PFS remain part of the NTPS and will be collected following every cycle of NTPS, starting with the 2020-21 NTPS. These two follow up surveys go back to NTPS Teacher and Principal Survey respondents to determine whether they are still working at the same school or in the field of education. These data will be analyzed in the context of their responses to the prior year NTPS. The TFS and PFS allow researchers to look at dynamics of the teacher and principal labor market, as well as attrition. Since they follow NTPS respondents, the TFS and PFS allow researchers and policymakers to investigate the current status of teachers and principals in the context of perceived working conditions, sense of autonomy, and other self-reported variables from the prior year.

#### **A.1.3a Prior TFS Studies**

The TFS has been conducted seven times previously beginning in 1988-89 as a follow up to the first administration of the Schools and Staffing Survey (SASS) in 1987-88. It was subsequently administered as a follow up to SASS in 1991-92, 1994-95, 2000-2001, 2004-2005, 2008-2009, and, most recently, 2012-2013 (OMB# 1850-0598 v.9). During the 2015-16 school year, NCES conducted the first NTPS (OMB #1850-0598 v.11), a redesign of SASS to improve the flexibility, efficiency, and timeliness of NCES data on the nation's K-12 schools, principals, and teachers. The 2016-17 TFS was planned as the first to launch from the redesigned NTPS (OMB #1850-0617 v.3); however, the data collection was ultimately cancelled due to low teacher response rates on the 2015-16 NTPS. As a result, the 2021-22 TFS will be the first TFS to launch from the NTPS, with the design and content to remain highly consistent with earlier administrations of TFS.

The 2021-22 TFS, like earlier TFS collections, is designed to measure the one-year attrition rates of teachers who leave the profession and permit comparisons of stayers, movers, and leavers. The sample design will permit comparison of public versus private school teachers, new versus experienced teachers, and elementary versus secondary school teachers. For public schools, the design will permit comparisons of elementary, middle, and high school teachers. Survey data collected in the 2020-21 NTPS will be used as crosscutting variables in analyzing TFS data.

#### **A.1.3b Prior PFS Studies**

First collected in the 2008-09 school year, the PFS was designed as a one-year follow-up to the 2007-08 SASS. The 2008-09 PFS assessed how many school principals in the 2007-08 school year still worked as principals in the same school in the 2008-09 school year, how many had moved to become principals at other schools, and how many had left the principalship altogether. All principals who completed their 2007-08 SASS were eligible for the 2008-09 PFS. The PFS has been conducted two additional times – in 2012-13 as a follow-up to the 2011-12 SASS, and in 2016-17 as follow-up to the 2015-16 NTPS (OMB #1850-0934) – the first PFS to launch from the redesigned NTPS.

The 2021-22 PFS, like earlier PFS collections, is designed to measure the one-year attrition rates of principals who leave the profession and permit comparisons of stayers, movers, and leavers.

### **A.1.4 Study Designs**

#### **A.1.4a Study Design for the 2021-22 TFS**

The 2021-22 TFS will be conducted during the school year following the 2020-21 NTPS. Data collection will begin with the “teacher status operation” – that is, the collection of teacher status information from the NTPS sampled school via the TFS-1 form. All schools from which at least one teacher completed their NTPS teacher questionnaire during the 2020-21 NTPS will receive a paper TFS-1 form. The principal or another school staff member is asked

to complete the form, identifying the current teaching status of each of the NTPS sampled teachers by selecting one of the following status codes:

- 1 Teaching in this school
- 2 Teaching, but not in this school
- 3 Not teaching, but working in this school
- 4 On leave, returning this school year to this school
- 5 On leave, not returning this school year (e.g. extended maternity/paternity leave, disability, sabbatical, or military leave)
- 6 Left this school, not currently teaching (e.g. retired, working in another occupation, homemaking, or child rearing)
- 7 Left this school, occupational status unknown
- 8 Deceased

Nonresponding schools will receive a second mailing and eventually a non-response follow-up telephone call to complete the TFS-1 form over the phone. Once the teacher status operation is completed, a sample of current and former teachers will be selected for the TFS data collection operation. About 10,000 teachers will be selected according to a design similar to earlier TFS samples to allow for comparisons between and among public school and private school teachers.-

The major objectives of the 2020-21 TFS are detailed below.

1. To determine the one-year attrition rate for teachers.
2. To obtain major activity/occupation data for those who leave the teaching profession and career pattern data for those who remain in the profession.
3. To obtain data on educational activities and future plans.
4. To obtain data on attitudes about the teaching profession and job satisfaction.
5. To explore using text messaging as a contact method for teachers.

The 2021-22 TFS will primarily be a web-based collection. Follow-up for nonresponse will be conducted by email, mail, and telephone. During follow-up, teachers will be encouraged to complete their questionnaires online, but will have the option of completing it by telephone or on paper. Paper versions will be provided to teachers who may not have access to the web (e.g., those in Amish or Mennonite schools), and to teachers who request a paper copy. In addition, as a final follow-up effort, paper versions will be sent to teachers who do not complete the web-based instruments on their own or by having U.S. Census Bureau employees take information by telephone and enter it in the web-based instrument. Some sampled teachers will be sent text messages as means of follow-up, as well, but in an experimental manner. Further details about the use of text messages as means of follow-up during the 2021-22 TFS are provided in section B.4 of Supporting Statement Part B.

For ease of administration, the web version of the TFS will guide respondents through the complicated skip patterns. The paper version will have two separate hardcopy questionnaires. They are:

*Teacher Follow-up Survey Questionnaire for Current Teachers*, used to collect data from stayers and movers.

*Teacher Follow-up Survey Questionnaire for Former Teachers*, used to collect data from leavers.

#### A.1.4b Study Design for the 2021-22 PFS

The 2021-22 PFS will be conducted during the school year following the 2020-21 NTPS. Data collection will begin with the current occupational status of the principal from the 2020-21 NTPS sampled school via the PFS-1A/1B form. Nonresponding schools will receive a second mailing and eventually a non-response follow-up telephone call to complete their PFS-1A/1B form over the phone. Principals of nonresponding schools will be contacted directly using the contact information provided on the NTPS principal questionnaire during the prior school year. First, they will be mailed a PFS-1C/1D form at their home address, along with a reminder contact by email. Nonresponding principals will receive a second mailing and eventually a non-response follow-up telephone call. Some sampled principals will be sent text messages as means of follow-up, as well, but in an experimental manner. Further details

about the use of text messages as means of follow-up during the 2021-22 PFS are provided in section B.4 of Supporting Statement Part B.

Because the PFS will collect data with only one (PFS-1C/1D) or two (PFS-1A/1B) follow-up questions, an internet instrument will not be developed. PFS data will be collected entirely using paper questionnaires, as was done for the 2016-17 PFS. There are four versions of paper PFS forms. They are:

*Principal Follow-up Survey Principal Status Form PFS-1A* will collect current principal status information about the 2020-21 principal from the NTPS public school.

*Principal Follow-up Survey Principal Status Form PFS-1B* will collect current principal status information about the 2020-21 principal from the NTPS private school.

*Principal Follow-up Survey Principal Status Form PFS-1C* will collect current principal status information from the 2020-21 NTPS public school principal.

*Principal Follow-up Survey Principal Status Form PFS-1D* will collect current principal status information from the 2020-21 NTPS private school principal.

The only content changes to the PFS questionnaires from the previous cycle is that the two private school versions of the questionnaire (PFS-1B, PFS-1D) have been added back to data collection, as the 2020-21 NTPS includes a sample of private schools whereas the 2015-16 NTPS did not. Paper questionnaires will be re-mailed to sampled schools and/or principals upon request.

## **A.2 PURPOSES AND USES OF DATA**

The data collected on the 2021-22 TFS and PFS will be used by Congress, the Department of Education, and other Federal agencies, State Departments of Education (also known as State Education Agencies or SEAs), private education and other associations concerned with elementary and secondary education, and education research organizations.

Unlike general labor market studies conducted by the U.S Department of Labor, the U.S. Department of Education is able to produce more detailed attrition rates that can further understanding of the nature, composition, and dynamics of the teacher and principal workforces. The current proposed TFS and PFS data collections are critical to understanding the impact of teacher and principal workforce policies along with economic conditions on the 2020-21 school year teacher and principal workforces.

### **A.2a Purposes and Uses of TFS Data**

Data from previous administrations of TFS have been used by Congress, the Department of Education, Federal agencies, SEAs, private education and other associations concerned with elementary and secondary education, and education research organizations, and requests have been documented for NCES to update these data. NCES continues to receive requests for restricted-use license access to the most recent TFS and inquiries about upcoming data collections.

National data, as well as data from a number of states and school districts, suggest that annual attrition rates are especially high for inexperienced teachers during their first few years.<sup>1</sup> The mix of experiences within the teaching workforce is an important (and perhaps changing) variable. The labor market context, both within teaching and in the economy in general, undoubtedly influence attrition. When teaching positions are scarce, temporary exits may be fewer due to perceived difficulty in reentering; when other opportunities are plentiful, career changes are more likely. Policy variables may also influence attrition rates. Incentives for early retirement, for example, became widespread in school districts during the 1990s, as costs for experienced teachers rose. Policy initiatives such as mentoring, student loan forgiveness, and additional bonuses for teachers who gain national certification are intended to reduce attrition rates.

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<sup>1</sup> Boyd, D., Grossman, P., Lankford, H., Loeb, S., and Wyckoff, J. (2009). *Who Leaves?: Teacher Attrition and Student Achievement* (CALDER working paper 23). The Urban Institute; Ingersoll, R.M., and Smith, T.M. (2003). The Wrong Solution to the Teacher Shortage. In *Keeping Good Teachers*, Special Issue. *Educational Leadership*, 60(8): 30-33.

One of the major objectives of NTPS is to collect national data for estimating teacher turnover and for understanding attrition patterns. The 2021-21 TFS is designed to be used in conjunction with 2020-21 NTPS to model the mobility of public and private school teachers. NTPS and TFS, conducted on a regular basis, provide necessary information for estimating and analyzing teacher turnover and for updating the turnover estimates used in projections of teacher demand.

#### A.2b Purposes and Uses of PFS Data

As a baseline measure, the results from the first PFS collected in 2008-09 received immediate attention from the education media, SEA planners, researchers, and advocacy organizations interested in the dynamics of the principal labor force.

Data collected during PFS produce national estimates about principals in public and private schools. The resulting data files include responses to question one on the PFS form (principal's occupational status). The PFS data file are merged with the previous year's NTPS principal data file to provide a rich dataset for analyzing information about principals in K-12 schools in the United States.

### A.3 APPROPRIATE USE OF INFORMATION TECHNOLOGY

As in the 2020-21 NTPS and all prior administrations of TFS and PFS, data collection will be carried out for NCES by the Census Bureau under an interagency agreement. Technology will be applied appropriately to keep respondent burden to a minimum.

#### A.3a Appropriate use of Information Technology for the 2021-22 TFS

The web-based TFS instruments are designed to minimize respondent burden by eliminating cumbersome skip patterns required in pencil and paper instruments. The instrument will be securely hosted on the Census Bureau server where operations staff can access sample member information and questionnaire status and conduct efficient and effective nonresponse follow-up.

TFS data will be primarily collected using a web-based survey instrument. In addition to receiving mailed TFS correspondence, sampled teachers will be contacted via email throughout data collection using the email addresses collected during the NTPS; when necessary, additional research operations will be conducted to find email addresses for sampled teachers whose email address was not collected during the NTPS or for whom it is no longer valid. All sampled teachers will be mailed an initial letter and sent an email initially requesting participation in the survey using the online instrument. Several rounds of reminder correspondence via email and/or mailed letters will be sent to sampled teachers who have not yet completed their survey. All reminder emails will include the URL and login credentials for accessing the web survey instrument. The final two reminder mailings will include a paper questionnaire. In addition, some sampled teachers will be sent text messages as means of follow-up, as well, but in an experimental manner.

Telephone reminder and follow-up operations where the interviewers remind and encourage the sampled teachers to complete their questionnaires and, when possible, complete interviews over the phone using the TFS web-based instrument will be carried out by Census Bureau contact center staff. These operations will take place concurrently with the reminder mailout and email operations throughout the winter and spring of 2022. Throughout the telephone reminder and follow-up operations, paper questionnaires will be mailed to sampled teachers upon request.

The 2021-22 TFS will include an experiment to test different methods of texting survey participants who consented on their completed NTPS to receiving text messages to explore the use of text messaging as means of reminding survey respondents to complete their TFS and as a new data collection mode. Further details about the use of text messages as means of follow-up during the 2021-22 TFS are provided in section B.4.1 of Supporting Statement Part B.

#### A.3b Appropriate use of Information Technology for the 2021-22 PFS

The one-page PFS questionnaire will be mailed to each 2020-21 NTPS sampled school to gather the current occupational status of the person who was the school's principal during the NTPS.

In order to collect occupation status information about the principal if the school fails to complete their PFS questionnaire, a slightly different version of the PFS questionnaire will be mailed directly to each sampled principal at his or her home mailing address, which was collected as part of the 2020-21 NTPS Principal Questionnaire. In addition to receiving mailed PFS correspondence, sampled principals will be contacted via email throughout data collection using the email addresses collected during the 2020-21 NTPS. When necessary, additional research operations will be conducted to find email addresses for sampled principals whose email address was not collected during the 2020-21 NTPS or for whom it proves no longer valid. In addition, some sampled principals will be sent text messages as means of follow-up, as well, but in an experimental manner. Further details about the use of text messages as means of follow-up during the 2021-22 PFS are provided in section B.4.1 of Supporting Statement Part B.

Census contact center staff will implement telephone reminders and follow-up operations with sample schools and principals to encourage those that have not yet responded to complete their PFS questionnaire. When possible, interviewers will collect principal status information over the phone. These operations will take place concurrently with a reminder mailout throughout the spring of 2022.

#### **A.4 EFFORTS TO IDENTIFY DUPLICATION**

Available data sources were examined to determine that the data were not available elsewhere. NCES staff continues to monitor the fields of teacher and principal attrition and retention in preparation for subsequent TFS and PFS administrations. As of this submission, no duplicate efforts have been identified.

#### **A.5 COLLECTION OF DATA FROM SMALL SCHOOLS**

The burden on small schools was minimized during the 2020-21 NTPS data collection through the sample design that specified the selection of schools as a function of size defined by the number of teachers. Small schools, therefore, were sampled at lower rates than larger schools because they comprise a smaller proportion of the teacher population per school. Because the TFS teacher status operation and the PFS are follow-up studies of schools that participated in NTPS, the burden of TFS and PFS is, therefore, minimized among small schools.

#### **A.6 FREQUENCY OF DATA COLLECTION**

NCES plans to continue collecting the TFS and PFS data following every cycle of NTPS.

#### **A.7 SPECIAL CIRCUMSTANCES OF DATA COLLECTION**

No special circumstances for these information collections are anticipated.

#### **A.8 CONSULTATIONS OUTSIDE THE AGENCY**

NCES conducts NTPS and its follow-up studies, the TFS and PFS, in close consultation with other offices and organizations within and outside the U.S. Department of Education.

Since its initial conception, TFS and PFS development has relied on the substantive and technical review and comment of people both inside and outside the Department of Education. Through a series of technical review panel meetings, the plans for TFS and PFS content, design, analysis, and reporting have been shared with data providers at all levels and data users including researchers and policymakers. Below are listed those who helped shape the TFS and PFS from outside of the Department of Education, with their name and affiliation at the time they provided input.

Sarah Almy  
Director of Teacher Quality  
Education Trust

Prof. David Figlio  
Warrington College of Business Administration

University of Florida

Prof. Daniel Goldhaber  
Evans School of Public Affairs  
University of Washington



Prof. Jennifer Imazeki  
Department of Economics  
San Diego State University

Prof. Richard Ingersoll  
Graduate School of Education  
University of Pennsylvania

Prof. Susan Moore Johnson  
Graduate School of Education  
Harvard University

Prof. Edward Liu  
Graduate School of Education  
Rutgers University

Prof. Susanna Loeb  
School of Education  
Stanford University  
Mr. Michael Long  
ICF International

Howard Nelson  
Senior Associate Director  
American Federation of Teachers

Michael Podgursky  
Department of Economics  
University of Missouri

Prof. Steve Rivkin  
Department of Economics  
Amherst College

Prof. Tim Sass  
Department of Economics  
Florida State University

Prof. Jianping Shen  
Department of Teaching, Learning, and Leadership  
Western Michigan University

Elena Silva  
Education Sector

Michael Strong  
Director of Research  
New Teacher Center, UC Santa Cruz

The following experts served as part of the NTPS (and related studies) team in previous rounds of administration:

Laurie Lewis, Statistician, Westat

Jim Green, Statistician, Westat  
Rebecca Goldring, Statistician, Westat

The NTPS, TFS, and PFS study designs have benefited from consultation with the following federal experts:

Andy Zukerberg, Statistician, National Center for Education Statistics  
Maura Spiegelman, Statistician, National Center for Education Statistics  
Julia Merlin, Statistician, National Center for Education Statistics  
Stephen Broughman, Statistician, National Center for Education Statistics  
Shawna Cox, Survey Director, Education Surveys Team, U.S. Census Bureau  
Walter Holmes, Assistant Survey Director, Education Surveys Team, U.S. Census Bureau  
Aaron Gilary, Mathematical Statistician, Demographic Survey Methods Division, U.S. Census Bureau  
Kathleen Kephart, Statistician, Center for Behavioral Science Methods, U.S. Census Bureau  
Jessica Holzberg, Statistician, Center for Behavioral Science Methods, U.S. Census Bureau  
Stephanie Coffey, Center for Optimization and Data Science, U.S. Census Bureau  
Allison Zotti, Center for Optimization and Data Science, U.S. Census Bureau

## **A.9 PROVISION OF PAYMENTS OR GIFTS TO RESPONDENTS**

The 2020-21 NTPS included the use of incentives with the goal of maximizing teacher response, and, therefore, the 2021-22 TFS will include the use of monetary incentives as well, with the goal of improving response rates among sample members. All teachers contacted will receive a \$5 or \$10 cash incentive in their first contact letter.

Incentives will be offered in a non-experimental manner, though amounts will vary at the school-level and based on what the teacher received for the 2020-21 NTPS, as well as the school's priority status. More specifically, teachers who received \$5 for the 2020-21 NTPS will receive \$5 for the 2021-22 TFS, with the exception of those at priority schools who will receive \$10. Those who received \$20 for the 2020-21 NTPS will receive \$10 for the 2021-22 TFS. Teachers who received non-monetary incentives for the 2020-21 NTPS will receive \$5 or \$10 for the 2021-22 TFS, depending on the school's priority status.

In addition, NCES seeks approval to potentially provide a monetary boost as a contingency plan to combat low response from teachers. If activated, the contingency plan would be executed based on monitoring data collection status as well as the TFS-2 and TFS-3 response rates. This incentive would be a one-time, pre-paid \$10 cash incentive mailed directly to the responding teacher.

Further details about the use of incentives are provided in section B.3 of Supporting Statement Part B. The particular details of the contingency incentive plan are located on p. 11 of Part B.

There will be no provision of payments or gifts to respondents for the 2021-22 PFS.

## **A.10 ASSURANCE OF CONFIDENTIALITY**

Data security and confidentiality protection procedures have been put in place for the 2020-21 NTPS and the 2021-21 TFS and PFS studies and to ensure that all contractors and agents working on these studies comply with all privacy requirements including, as applicable:

1. The Interagency agreement with NCES for this study and the statement of work of NTPS contract;
2. *Privacy Act of 1974* (5 U.S.C. §552a);
3. *Privacy Act Regulations* (34 CFR Part 5b);
4. *Computer Security Act of 1987*;
5. *U.S.A. Patriot Act of 2001* (P.L. 107-56);
6. *Education Sciences Reform Act of 2002* (ESRA 2002, 20 U.S.C. §9573);
7. *Cybersecurity Enhancement Act of 2015* (6 U.S.C. §151);
8. *Foundations of Evidence-Based Policymaking Act of 2018, Title III, Part B, Confidential Information Protection*
9. The U.S. Department of Education General Handbook for Information Technology Security General

- Support Systems and Major Applications Inventory Procedures (March 2005);
10. The U.S. Department of Education Incident Handling Procedures (February 2009);
  11. The U.S. Department of Education, ACS Directive OM: 5-101, Contractor Employee Personnel Security Screenings;
  12. NCES Statistical Standards; and
  13. All new legislation that impacts the data collected through the interagency agreement and contract for this study.

The U.S. Census Bureau will collect data under an interagency agreement with NCES, and maintain the individually identifiable questionnaires per the agreement, including:

1. Provisions for data collection in the field;
2. Provisions to protect the data-coding phase required before machine processing;
3. Provisions to safeguard completed survey documents;
4. Authorization procedures to access or obtain files containing identifying information; and
5. Provisions to remove printouts and other outputs that contain identification information from normal operation (such materials will be maintained in secured storage areas and will be securely destroyed as soon as practical).

U.S. Census Bureau and contractors working on the 2020-21 NTPS and the 2021-22 TFS and PFS studies will comply with the Department of Education's IT security policy requirements as set forth in the Handbook for Information Assurance Security Policy and related procedures and guidance, as well as IT security requirements in the Federal Information Security Management Act (FISMA), Federal Information Processing Standards (FIPS) publications, Office of Management and Budget (OMB) Circulars, and the National Institute of Standards and Technology (NIST) standards and guidance. All data products and publications will also adhere to: the revised NCES Statistical Standards, as described at the website: <https://nces.ed.gov/statprog/2012/>.

By law (20 U.S.C. §9573), a violation of the confidentiality restrictions is a felony, punishable by imprisonment of up to 5 years and/or a fine of up to \$250,000. All government or contracted staff working on the study and having access to the data are required to sign an NCES Affidavit of Nondisclosure and have received public-trust security clearance. These requirements include the successful certification and accreditation of the system before it can be implemented. Appropriate memoranda of understanding and interconnection security agreements will be documented as part of the certification and accreditation process.

From the initial contact with the participants in this survey through all of the follow-up efforts, potential survey respondents will be informed that (a) the U.S. Census Bureau administers NTPS and the NTPS follow-up studies on behalf of NCES; (b) NCES is authorized to conduct NTPS and the NTPS follow-up studies by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543); (c) all of the information they provide may only be used for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose except as required by law (20 U.S.C. §9573 and 6 U.S.C. §151); and (d) that their participation is voluntary.

The following language will be included in respondent contact materials and/or data collection instruments:

The National Center for Education Statistics (NCES), within the U.S. Department of Education, conducts NTPS and the NTPS follow-up surveys as authorized by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543).

All of the information you provide may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose except as required by law (20 U.S.C. §9573 and 6 U.S.C. §151).

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this voluntary information collection is 1850-0617. The time required to complete this information collection is estimated to average [XX] minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate, suggestions for improving this collection, or comments or concerns about the contents or the status of your individual submission of this questionnaire, please e-mail:

[ntps@census.gov](mailto:ntps@census.gov), or write directly to: National Teacher and Principal Survey (NTPS), National Center for Education Statistics, Potomac Center Plaza, 550 12<sup>th</sup> Street SW, Washington, DC 20202.

Some identifying information must be collected from teachers and principals to permit follow-up of TFS and PFS respondents who return incomplete surveys so that missing and inconsistent data can be corrected. To accomplish this, the collection instruments ask sampled teachers and principals to verify or update their names, home addresses, telephone numbers, and email addresses.

The TFS web-based data collection instruments will be housed on Census Bureau servers. Hardcopy returns will go directly to the Census Bureau for data capture and machine processing. Only authorized individuals will have access to the data.

### A.11 SENSITIVE QUESTIONS

The 2020-21 TFS and PFS are voluntary surveys, and no persons are required to respond. In addition, respondents may decline to answer any question in the survey. Respondents are informed of the voluntary nature of the survey in contact letters and emails, as well as on the actual questionnaire.

Some items in the 2021-22 TFS questionnaires may be considered sensitive by some respondents. It includes questions that pertain to personal or family income, and the respondents are asked questions about their salary for the year and other types of income during the school year and the summer. Those who left teaching (and are working) are asked about their yearly salary and the combined family (or household) income. Data on income and compensation are important for analyses of average teacher salaries, overall teacher compensation, comparative income between current and former teachers, and teacher job satisfaction. Comparative income and financial responsibility data between leavers and stayers or movers provide a broader look at the decisions made by teachers to stay in, change, or leave teaching.

Questionnaire items on the 2021-22 PFS are not considered to be sensitive.

### A.12 ESTIMATED RESPONSE BURDEN

A.12a. Estimates Response Burden for the 2021-22 TFS

*Table A1 Details of Information Collection Burden for the 2021-22 TFS*

Respondent Type	Sample Size	Estimated Response Rate	Estimated Number of Respondents	Estimated Number of Responses	Estimated average response time per respondent	Total Hours
Schools (Teacher Status Form (TFS-1))	9,300	0.99	9,207	9,207	10 minutes	1,535
Stayers and Movers (Current Teacher Questionnaire (TFS-3))	7,875	0.81	6,378	6,378	22 minutes	2,339
Leavers (Former Teacher Questionnaire (TFS-2))	2,398	0.75	1,799	1,799	19 minutes	570
<b>TOTAL</b>	--	--	<b>17,384</b>	<b>17,384</b>	--	<b>4,444</b>

The sample members with unknown status are assumed to be allocated to the two types of surveys (current and former teachers) in the same proportion as the sample members with known status. The number of respondent schools is based on a 99 percent unweighted response rate and the number of current or former teacher respondents is based on a 75 percent base-weighted response rate from leavers and an 81 percent base-weighted response rate from stayers and movers after follow-up.

The estimated average hourly earnings of teachers is \$31.17, and of principals/administrators is \$48.24<sup>2</sup> in elementary and secondary schools in the May 2019 National Occupational and Employment Wage Estimates sponsored by the Bureau of Labor Statistics (BLS). Therefore, the total estimated burden time response cost for teacher respondents is \$90,654, and for school administrators \$74,048, for a total of \$164,702 estimated burden time response cost for the 2021-22 TFS.

#### A.12b. Estimates Response Burden for the 2021-22 PFS

**Table A2** *Details of Information Collection Burden for the 2021-22 PFS*

Respondent Type	Sample Size	Estimated Response Rate	Estimated Number of Respondents	Estimated Number of Responses	Estimated average response time per response	Total Hours
Schools: Principal Status Form (PFS-1A/1B)	8,650	0.92	7,958	7,958	5 minutes	663
Principals from Non-Responding Schools: Principal Status Form (PFS-1C/1D)	8,650	0.04	346	346	5 minutes	29
<b>TOTAL</b>	--	--	<b>8,304</b>	<b>8,304</b>	--	<b>692</b>

The sample size for mailings reflects the expended number of principal responses to the 2020-21 NTPS principal questionnaire. The estimated response rate for schools is based on the percentage of forms received from schools in the 2016-17 PFS (92%), and the estimated response rate for principals is based on the percentage of forms received directly from principals of non-responding schools in the 2016-17 PFS (4%). The estimated burden time per respondent is based on in the 2016-17 PFS burden estimate (5 minutes).

The estimated average hourly earnings of principals/administrators is \$48.24<sup>3</sup> in elementary and secondary schools in the May 2019 National Occupational and Employment Wage Estimates sponsored by the Bureau of Labor Statistics (BLS). Therefore, the total estimated burden time response cost for the 2021-22 PFS is \$33,382.

**Table A3** *Summary of Information Collection Burden for the 2021-22 TFS & PFS*

Respondent Type	Estimated Number of Respondents	Estimated Number of Responses	Hours	Estimated Burden Time Response Cost
Teacher Follow-Up Study	17,384	17,384	4,444	\$164,702
Principal Follow-Up Study	8,304	8,304	692	\$33,382
<b>TOTAL FOR THIS REQUEST</b>	<b>25,688</b>	<b>25,688</b>	<b>5,136</b>	<b>\$198,084</b>

### A.13 ESTIMATES OF COST BURDEN

Respondents for these surveys will not incur any cost other than the time it takes to respond.

### A.14 COST TO THE FEDERAL GOVERNMENT

The cost to the federal government for work by the Census Bureau on the 2021-22 TFS and PFS is estimated to be \$4.5 million. These estimates were compiled from individual estimates developed within each Census Bureau division involved in the surveys and are based on the sample sizes, questionnaires length, and data processing requirements. Administrative overhead, forms design, printing, and mailing costs are included. Additionally, the

<sup>2</sup> The average hourly earnings of primary and secondary teachers in the May 2019 National Occupational and Employment Wage Estimates sponsored by the Bureau of Labor Statistics (BLS) is \$31.17, while the average hourly earnings of principals/education administrators is \$48.24. Source: BLS Occupation Employment Statistics, <http://data.bls.gov/oes/> data type: Occupation code: Elementary and Middle School Teachers (25-2020) and Secondary School Teachers (25-2030); accessed on October 28, 2020.

<sup>3</sup> The average hourly earnings of principals/education administrators in the May 2019 National Occupational and Employment Wage Estimates sponsored by the Bureau of Labor Statistics (BLS) is \$48.24. Source: BLS Occupation Employment Statistics, <http://data.bls.gov/oes/> data type: Occupation code: Education Administrators, Elementary and Secondary Schools (11-9032); accessed on October 28, 2020.

2021-22 TFS and PFS are also conducted with the support of Westat, for an estimated additional \$487,000. In total, the 2021-22 TFS and PFS are estimated to cost the Federal Government approximately \$4.99 million.

**Table A4** *Estimates of costs to the government for the 2021-22 TFS & PFS*

<b>Activity</b>	<b>Estimated Costs</b>
Census Bureau costs	\$4,500,000
Contractor Fees	\$487,000
<b>TOTAL</b>	<b>\$4,987,000</b>

### **A.15 REASON FOR CHANGE IN BURDEN**

This request shows an increase in the estimated response burden for both the TFS and the PFS. The burden hours for TFS have increased from the last clearance, 3,133 hours, to 4,444 hours and for PFS from 603 hours to 692 hours due to the inclusion of private schools and teachers in the 2020-21 NTPS, and therefore both of its follow-up studies. Survey length for both TFS and PFS remains unchanged from the previous administration. Finally, because both the TFS and PFS are follow-up studies to the NTPS, we are seeking reinstatement of OMB number 1850-0617 to represent both studies, independent of NTPS’s OMB number 1850-0598.

### **A.16 PROJECT SCHEDULE**

In addition to restricted use data files, NCES plans to produce the following online reports for both the 2021-22 TFS and PFS studies:

- A Survey Documentation report summarizing the procedures for sampling, data collection, data control, and data processing;
- A “First Look” report containing tabular summaries of basic data for dissemination to a broad audience; and
- A Data File User’s Manual.

The 2021-22 TFS activities will be conducted according to the following time schedule:

<b>Activity</b>	<b>Dates</b>
Teacher Status Form (TFS-1) and letter mailed to sampled schools	September 2021
Reminder letter with a second TFS-1 mailed to sample schools	September 2021
Telephone non-response follow-up with schools that did not return the TFS-1	October 2021
Research operation for sampled personal who did not provide any contact information in NTPS and who were no longer teaching at the same school	November - December 2021
Initial letter and email inviting participation in the survey	January 2022
1 <sup>st</sup> reminder by letter and email	Late January 2022
2 <sup>nd</sup> reminder by email	Mid-February 2022
Telephone reminder for non-respondents—Phase 1	February - April 2022
3 <sup>rd</sup> reminder by letter and email	Early March 2022
4 <sup>th</sup> reminder by email	Late March 2022
5 <sup>th</sup> reminder by letter with paper questionnaire and by email	Mid-April 2022
6 <sup>th</sup> reminder by letter with paper questionnaire and by email (final letter contact)	Late May 2022
Telephone follow-up for non-respondents – Phase 2	May - June 2022
TFS Data Collection Ends	July 2022
NCES reports results	June 2023

The 2021-22 PFS activities will be conducted according to the following time schedule:

<b>Activity</b>	<b>Dates</b>
Principal Status Forms (PFS-1A/1B) and letter mailed to sampled schools	January 2022
Reminder letter and email with a second PFS-1A/1B mailed to sampled schools	Early February 2022
Telephone non-response follow-up with schools that did not return the PFS-1A/1B	February - March 2022
Principal Status Forms (PFS-1C/1D) and letter mailed to principals in nonresponding schools	Mid-March 2022
E-mail reminder to non-responding principals	Late March 2022
Reminder letter with a second PFS-1A/1B mailed to nonresponding principals	Late March 2022
E-mail reminder to non-responding principals	Early April 2022
Telephone non-response follow-up with principals that did not return the PFS-1C/1D	April - May 2022
TFS Data Collection Ends	June 2022
NCES reports results	May 2023

**A.17 REQUEST NOT TO DISPLAY EXPIRATION DATE**

NCES is not seeking approval not to display the expiration date of OMB approval.

**A.18 EXCEPTIONS TO THE CERTIFICATION**

There are no exceptions to the topics in Item 19 of Form OMB 83-1.